

Washington State Agency Self-Assessment 2002

Provided to cabinet agencies by the Office of the Governor

Instructions:

*You have been selected to participate in assessing how your agency functions as an organization. Like other cabinet agencies, your agency will be using this tool as a guide in reviewing how the agency operates in seven **categories**:*

- *Leadership*
- *Strategic Planning*
- *Customer Focus*
- *Information and Analysis*
- *Human Resource Focus*
- *Process Management*
- *Results (in the areas of Customer Results, Financial Results, Human Resource Results and Internal Business Process Management, and Public Value and Benefit– the same as the Balanced Scorecard perspectives)*

Each page of the tool is devoted to one category, subdivided into 4-5 items, which are listed along the left side of the page. Reading from left to right, you will see a seven-point scale for each item. The scale represents a continuum of development for each item, and a brief description of each level of development is provided for each item.

*You will be asked to “score” the agency in each item, and overall in each category. Then you will participate in a discussion with other people to determine a consensus score for the agency for each item and category. In preparation for that discussion, please read across the line corresponding to each item, and circle the score that **MOST CLOSELY** captures where your agency is on the continuum of development for that item. Don’t worry about being too “exact” or “right” – go with your own perception from your experience. When you have scored each item, determine an “overall” score in that category. Do the same for each of the seven categories, and follow your IQC’s instructions for submitting your scores and participating in the consensus discussion.*

THANK YOU for your help. Your work will help your agency in its internal improvement process.

This category addresses the agency's leadership system, including how management addresses values, agency directions, performance expectations, customers and stakeholder needs, and learning and innovation.

LEADERSHIP

ELEMENT	Indicate in the bar numbered 1-7 – where on the continuum you would put your agency						
	1	2	3	4	5	6	7
Senior Leadership Direction	Vision, mission, and goals do not exist.	Vision, mission, and goals exist, but have not been shared throughout the agency.	Vision, mission, and goals are shared within and outside the agency.	Vision and mission are translated into measurable goals, are communicated and understood by some employees, customers and stakeholders.	Direction and goals are incorporated into the strategic plan and are oriented to drive future performance.	Direction and goals include partnerships with other agencies or jurisdictions to provide seamless service delivery to the public.	Leadership goals and direction are recognized nationally for the agency's innovations in providing services to improve the public good.
Innovative Work Environment	Learning, innovation and empowerment are not practiced in this agency.	Beginning to see a few managers encouraging employees to try new ideas.	Some managers encourage learning and new ideas, and empower employees on a limited basis.	Many managers provide mentoring, provide opportunities for learning, and recognize innovation and achievement.	Most managers are role models for others providing mentoring, sponsoring opportunities for learning, and recognizing staff.	Managers are recognized locally as outstanding leaders and role models for others.	The agency and managers are recognized nationally as outstanding leaders, role models for others.
Organizational Performance Review	Management has no systematic review process to evaluate Agency performance.	Management meets occasionally to review agency goals and progress toward achieving them.	Management meetings regularly include a review of performance results are a regular subject	Executive management assesses the agency's performance and makes improvements on a routine basis.	Management has a process for evaluating progress toward achieving goals and ensuring alignment of divisional goals.	Performance reviews by management drive improvements and innovations including improvement in management effectiveness.	Performance reviews include employees and stakeholders with focus not only on current performance but assessing actions for future direction.
Public Responsibility and Citizenship	No sense of public responsibility on management's part.	Managers support community service and involvement by employees such as blood drives, tutoring, and combine fund drive.	Managers demonstrate high ethical standards in transactions and interactions.	Management is sensitive to public concerns such as conservation, environmental impact, social impact and business impact.	Management has strategies for actively addressing the impact their operations have on the community and the environment.	Management leadership, goals, and strategies demonstrate anticipation of impact of agency activities on the community and the environment.	Management takes a leadership role in volunteer community activities beyond their normal business interactions with the public.
Overall Rating	1 Not engaged yet	2 Beginning to engage	3 Minimum standards met	4 Practitioners with moderate success	5 Stable processes with trend results	6 Sustained results, role model	7 World class excellence

STRATEGIC PLANNING

This category examines how the agency develops and deploys its strategies and goals. It addresses how strategic plans and business plans are deployed and how performance is tracked.

ELEMENT	Indicate in the bar numbered 1-7 – where on the continuum you would put you						
	1	2	3	4	5	6	7
Strategy Development Process	There is no strategic planning process in this agency.	Agency's direction has been broadly identified, but no clear strategies in place.	Strategies and goals are identified for the next 1-2 years.	Strategies for the next 1-2 years have been demonstrated to be effective and aligned to the mission, and long range goals.	Customer, stakeholder and employee needs are routinely considered to improve the strategic planning process.	Annually the agency evaluates the effectiveness of the strategic planning process based on best practices, data from stakeholders and others.	Others recognize the strategic planning process as a best practice.
Plan Development	Agency strategic plan is developed only to comply with budget instructions.	Limited data and information is gathered to drive the strategic plan development.	Data is used in developing the plan and employees are involved on a limited basis in its development.	Customers, stakeholders and employees' inputs and trend data are used in the development of the strategic plan.	The annual agency strategic plan bridges the biennial budget cycle and is aligned with the Governor's priorities.	The strategic plan incorporates future anticipated changes and is aligned with other agencies around the Governor's priorities.	Others recognize the strategic plan as a model.
Plan Deployment	There is no deployment of any plan.	The strategic plan is communicated to the agency, but only used or understood by a few designated staff.	Leaders actively communicate the plan and help employees understand their role in its deployment.	Strategic initiatives and vision provide the drive and priorities for resource allocations, operating and capital budgets, IT plans, and HR plans.	A tracking system for monitoring and adjusting the plan is part of regular management meetings.	Individual units' business plans and priorities are aligned to the agency strategic plan.	Throughout the agency, all strategic and project planning initiatives are aligned and individual employees performance plans are linked to the agency strategic plan.
Performance Targets	There are no specific targets (deadlines or quantities) for future performance in any areas.	Some targets are set, although they are short term and the basis for their selection is unclear.	Targets are based on agency historical performance and are related to performance 1-2 years into the future	Targets are based on industry standards and/or identified customers' requirements.	Performance targets set based on national averages.	Targets are based on benchmarks of industry leaders.	Others recognize the agency's efforts as a best practice for target setting and benchmarking.
Overall Rating	1 Not engaged yet	2 Beginning to engage	3 Minimum standards met	4 Practitioners with moderate success	5 Stable processes with trend results	6 Sustained results, role model	7 World class excellence

Customer Focus examines how the agency determines customer requirements and expectations. It also addresses how the agency builds relationships with customers and determines their satisfaction.

CUSTOMER FOCUS

ELEMENT	Indicate in the bar numbered 1-7 – where on the continuum you would put your agency						
	1	2	3	4	5	6	7
Customer and Industry Knowledge	The agency does not collect information about its industry (e.g. health care, corrections, environment, etc.) or who its key customers are.	Some groups collect limited information about key customers and industries, but share it with only a few people in the agency.	The agency collects information on key customers and industries and shares it throughout the agency on at least an annual basis.	The agency collects and analyzes information about key customers and industries and shares it in the agency throughout the year.	The agency regularly gathers, analyzes and shares data about current and future customers and industry trends.	The agency regularly gathers, analyzes and shares data about current and future industry trends, and uses it to project performance goals.	Information is systemically gathered from key customers, industries, and other similar industries to project need several years out.
Customer Requirements	Limited discussion of customers and their requirements within the agency.	Most programs have identified their customer groups.	Management uses some customer expectations and requirements in decision-making.	Programs have identified and documented key customer groups and their requirements.	Programs have translated customer requirements into performance measures and track performance against them	Broad customer feedback systems with multiple data gathering processes (i.e. focus groups, internet, phone surveys) used for target setting and future direction.	All key customers' requirements are integrated into products and services the agency delivers.
Customer Relationships	The prevailing attitude is "customers have to come to us" - therefore there is no mechanism in place to build relationships.	Limited information is available to customers for self-help or limited assistance is available.	Most customers have easy access to public information and personalized help readily available to them.	Relationships with customers are built and nourished. Many employees in the agency provide access to information and timely responses.	Most employees in the agency know their key customers' needs and proactively meet their requirements.	Most employees track the needs and requirements of their key customers and solve customer problems as they arise.	All employees know their key customers and respond well to their needs and requests.
Customer Satisfaction	No established customer feedback or complaint response process.	Customer complaint feedback is anecdotal, and there is no system to track satisfaction, complaints, or responses to them.	Some groups use satisfaction data to set customer service standards, and have a system for responding to customer complaints.	Most groups have a process for tracking and responding to customer feedback, and use the information in improvement decisions.	There is an agency-wide well-defined customer complaint process with trend data.	Most employees are empowered to resolve customer complaints at their level and generate improvements to meet customer needs.	Employees proactively seek ways to better serve customers and stakeholders. All information is tracked and shared in the agency.
Overall Rating	1 Not engaged yet	2 Beginning to engage	3 Minimum standards met	4 Practitioners with moderate success	5 Stable processes with trend results	6 Sustained results, role model	7 World class excellence

This category addresses the agency's performance measurement system. It also examines how the agency analyzes performance data and information.

INFORMATION AND ANALYSIS

ELEMENT	Indicate in the bar numbered 1-7 – where on the continuum you would put your agency						
	1	2	3	4	5	6	7
Data Quality	There is no data collected, or no evaluation of the data that is collected.	Evaluation of data used is done only as a paper exercise when challenged by others.	The agency has developed ways to judge the validity and reliability of some of the agency data.	Staff evaluates data to ensure they are truly useful for decision-making.	Management continuously evaluates whether the right data are being used in decision-making	Agency wide, there are processes in place to assure the quality and reliability of most data on a regular basis.	Third party peer review routinely results in high marks for data accuracy and reliability.
Measurement of Organizational Performance	Data is experiential and data sources are anecdotal. Identifying output and outcome measures is just a task in the budget process.	Data is collected on outputs only. Process for collecting key information and data is being designed.	The agency has a scorecard or similar performance measurement system that includes some outcome measures to track performance.	The agency has outcome measures for most key business processes and programs. Scorecards (or other performance measurement systems) exist for most program areas.	Performance measures are developed based on customer and stakeholder input. Outcome measures are framed in terms of customer and stakeholder perspectives	Performance measures include cross-functional and or multi-agency outcomes measures.	Agency is consistently viewed as a national leader for developing effective performance measures that deliver top-rate results.
Use of Information for Improvement	Actions are taken based on a single incident or anecdotal information.	Data is beginning to be used to determine opportunities for improvement.	Data is occasionally shared and/or displayed within the agency; however, it is not generally used for management decision-making.	Trend data and analysis are regularly shared in most program areas. Managers rely on trend data for decision-making.	Performance and/or scorecard data is reviewed and analyzed at management meetings throughout the agency.	All agency staff has easy access to useful data they need for better decision-making. Performance results are shared with all customers, stakeholders and employees.	Data are used for all policy-making, budgeting, management and evaluation of all programs and services.
Communication of Organizational Performance	Very little conscious effort is made to share data within the agency.	Data occasionally shared and/or displayed within the agency.	Agency data are consistently displayed in an appealing and easy-to-understand fashion throughout the agency and on the agency web site.	Agency scorecard results are regularly shared with others, including stakeholders and customers.	Performance data are readily accessible to the public in a variety of formats.	Trend data are shared with key customers and stakeholders on a consistent basis.	The public is aware of the agency's key results.
Overall Rating	1 Not engaged yet	2 Beginning to engage	3 Minimum standards met	4 Practitioners with moderate success	5 Stable processes with trend results	6 Sustained results, role model	7 World class excellence

This category examines how the agency develops employees, and how the agency work environment supports full participation, personal and organizational growth.

HUMAN RESOURCE FOCUS

ELEMENT	Indicate in the bar numbered 1-7 – where on the continuum you would put your agency						
	1	2	3	4	5	6	7
Work Systems	We do things the way we have always done them.	Employees understand the connection between what they do and the agency's goals.	Employees and managers work together in teams to achieve goals.	Work teams seek to find new ways of doing things to meet their customer's needs.	Knowledge and skill sharing across work units is the norm.	Work processes are designed to be flexible and innovative.	All work processes are flexible, adaptable, and innovative with highly motivated staff.
Employee Training and Development	Most employees have access to training in basic job skills.	Training initiatives are determined by individual preference without job or career considerations.	Employee training is based on individual competencies and career needs.	Most employees have an individual personal development plan. Process is in place for identifying and mentoring individuals for promotion.	Employees' personal development action plans are linked to the strategic plan and assist employees in reaching their full potential.	Succession planning is part of the annual strategic planning process.	Others recognize employee development plans and processes as a benchmark.
Employee Well Being	No focus on employee health, well-being and safety issues.	Minimum attention given to health and safety concerns and little discussion on meeting different needs of employees.	Managers are expected to ensure a healthy and safe environment, which supports a diverse workforce.	Proactive actions are taken to identify the diverse needs of employees throughout the agency.	The agency demonstrates the value of a safe, healthy, diverse work environment that supports the needs of their diverse workforce.	The agency receives praise and high marks from labor and minority organizations for sensitivity to employee issues.	The agency is recognized by others as the best place to work in state government.
Employee Satisfaction and Recognition	No formal system of employee feedback or recognition other than annual service awards.	Limited amount of employee feedback in some programs or divisions with at least one recognition event each year.	Employee performance goals and recognition is linked to the agency strategic plan. Some employee satisfaction data is available.	Employee satisfaction data is used to improve management processes and systems throughout the agency.	Employee satisfaction and recognition plan is linked to the annual business or strategic plan.	Multiple methods are used to determine employee motivation, satisfaction, and management responsiveness to employee needs.	Sustained high marks for employee satisfaction for several years.
Accountability	There is no linkage between agency performance results and feedback to employees.	Agency director's performance agreement includes measurable performance results.	Performance agreements exist for director's direct reports. Use performance contracts with some vendors.	Most agency managers and some employees held accountable for achieving the agency goals.	All agency managers and most employees held accountable for achieving the agency goals.	Extensive use of performance contracting with vendors.	Employee and vendor performance has delivered high quality agency results in all areas.
Overall Rating	1 Not engaged yet	2 Beginning to engage	3 Minimum standards met	4 Practitioners with moderate success	5 Stable processes with trend results	6 Sustained results, role model	7 World class excellence

This category examines how the agency manages and improves its work processes, including the extent to which process design is customer-focused, and involves suppliers and partners.

PROCESS MANAGEMENT

ELEMENT	Indicate in the bar numbered 1-7 – where on the continuum you would put your agency						
	1	2	3	4	5	6	7
Process Design	No evaluation of workflow.	Some programs or units have documented their workflow.	Most programs' workflow or processes are documented and analyzed for process improvements.	Management and employees collaborate on achieving results and analyzing trends to continuously improve processes.	Best practices are routinely shared within the agency.	Vital work processes are benchmarked against leading outside organizations.	All work processes throughout the agency are flexible, adaptable, and effective.
Process Performance	Management focuses on putting out fires.	Management is committed to implementation of a quality or continuous improvement effort.	Use of quality tools widely evident in monitoring and improving processes.	Process is in place to prioritize and respond to opportunities for quality improvement.	Quality efforts are coordinated with and support the agency's strategic initiatives.	The agency receives a site visit for the Washington State Quality Award or similar outside assessment.	The agency is a recipient of the Washington State Quality Award or similar outside recognition or accreditation.
Support Processes	No evidence of understanding internal customer relationships.	Support units participate in their own process improvement teams.	Support and operations cross-functional process improvement teams are commonplace.	Support process improvement efforts include internal and external customers.	Support units improvement activities are aligned with operational units business plans.	Support units processes are benchmarked against leading outside organizations.	Others recognize support units' processes as best practices.
Supplier* and Partner** Processes	Process evaluations and improvements typically do not include suppliers (vendors) or partners.	Partners and suppliers are identified for some processes.	Most key business processes have identified partners and suppliers.	Improvement efforts on key business process usually include partners and suppliers.	There is proactive engagement of partners and suppliers in all new key business processes.	Key business processes automatically and routinely include feedback and evaluation by partners and suppliers.	Recognized by others as a best practice in working with suppliers and partners.
Overall Rating	1 Not engaged yet	2 Beginning to engage	3 Minimum standards met	4 Practitioners with moderate success	5 Stable processes with trend results	6 Sustained results, role model	7 World class excellence

*Suppliers are the folks that supply us the things we need to do our job – vendors, other agencies, people within our agency, etc.

**Partners are the other programs, agencies or jurisdictions that we coordinate with, rely on, or work with to deliver our services.

This category examines the agency's performance and improvement over time in key business areas.

PERFORMANCE RESULTS

ELEMENT	Indicate in the bar numbered 1-7 – where on the continuum you would put your agency						
	1	2	3	4	5	6	7
Customer Focused Results	No customer feedback results available.	Positive anecdotal customer feedback results for some agency programs.	Most programs can demonstrate improvements in representative* customer service results.	Positive trends for several years for most customer service measures.	All programs can demonstrate improvements in representative* customer service results.	Agency is recognized as a leader in customer results on an occasional or one-time basis.	Agency is an industry leader in customer results for several years.
Financial Results	Agency-level expenditures are within appropriation levels.	There are no significant audit findings for financial management.	Some programs can demonstrate that Unit costs** are decreasing while quality is constant or improving.	Most programs can demonstrate that Unit costs** are decreasing while quality is constant or improving.	Some programs can demonstrate a positive return on investment at the level of social or public benefit.	Most programs can demonstrate a positive return on investment at the level of social or public benefit.	Agency is a leader nationally or statewide in financial results for several years.
Human Resource Results	No employee feedback results available.	Positive anecdotal employee feedback results for some agency programs.	Most programs can demonstrate improvements in representative* employee results.	Positive trend for several years for most Human Resources measures (turnover, recruitment, etc.).	All programs can demonstrate improvements in representative* employee results.	Agency is recognized as a leader in employee results on an occasional or one-time basis.	Agency is an industry leader in employee results for several years.
Internal Business Process Results	No process improvement results available.	Positive anecdotal process improvement results for some agency programs.	Most programs can demonstrate measurable improvements in key processes.	Positive trends for several years for improvements in most key processes.	All programs can demonstrate measurable improvements in key processes.	Agency is recognized as a leader in process results on an occasional or one-time basis.	Agency is an industry leader in process results for several years.
Public Value and Benefit Results	No results of agency effectiveness available.	Positive anecdotal results for public value and benefit measures in some agency programs.	Most programs can demonstrate improvements in public value and benefit measures through representative* data.	Positive trends for several years for most public value and benefit measures.	All programs can demonstrate improvements in public value and benefit measures.	Agency is recognized as a leader in public value and benefit results on an occasional or one-time basis.	Agency is an industry leader in public value and benefit results for several years.
Overall Rating	1 Not engaged yet	2 Beginning to engage	3 Minimum standards met	4 Practitioners with moderate success	5 Stable processes with trend results	6 Sustained results, role model	7 World class excellence

*Representative = data provided by the total population or by a statistically valid sample of the total population.

**Unit cost = total or direct cost to produce one unit of output or outcome